



0001/PTO  
Rev. 10/95

U.S. Department of Commerce  
Patent and Trademark Office

## **TRANSMITTAL FORM**

*(to be used for all correspondence during pendency of  
filed application)*

|   |  |  |                          |                        |
|---|--|--|--------------------------|------------------------|
| 0001/PTO<br>Rev. 10/95  |  | U.S. Department of Commerce<br>Patent and Trademark Office | Application Number       | <b>10/782,739</b>      |
| <p style="text-align: center;"><b>TRANSMITTAL FORM</b></p> <p style="text-align: center;"><i>(to be used for all correspondence during pendency of filed application)</i></p> |  | Filing Date  | <b>February 18, 2004</b> |                        |
|   |  | First Named Inventor                                       | <b>Abhishek Chauhan</b>  |                        |
|   |  | Group Art Unit Number                                      | <b>2142</b>              |                        |
|   |  | Examiner Name  | <b>Not Yet Known</b>     |                        |
|   |  | Total Number of Pages in This Submission                   | <b>6**</b>               | Attorney Docket Number |

**ENCLOSURES** *(check all that apply)*



**REMARKS:** \*\* Total pages does not include cited references

**SIGNATURE OF ATTORNEY OR AGENT**

Signature:   
Attorney/Reg. No.: **Rimma Budnitskaya, Reg. No. 48,237** Dated: **June 22, 2004**

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I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.

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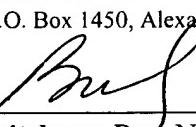
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Abhishek Chauhan  
APPLICATION NO.: 10/782,739  
FILING DATE: February 18, 2004  
TITLE: Using Statistical Analysis to Generate Exception Rules that Allow Legitimate Messages to Pass Through Application Proxies and Gateways  
EXAMINER: Not Yet Known  
GROUP ART UNIT: 2142  
ATTY. DKT. NO.: 22271-08770

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Rimma Budnitskaya, Reg. No.: 48,237

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**INFORMATION DISCLOSURE STATEMENT  
Under 37 CFR §§ 1.56 and 1.97-98**

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO/SB/08A listing references for consideration by the Examiner. Enclosed is a copy of each listed reference that may be material to the examination of this application, and for which there may be a duty to disclose.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

This Information Disclosure Statement is being filed:

- within three months of the filing date of the application, or date of entry into the national stage of an international application, or before the mailing date of a first office action on the merits, whichever event last occurred;
- before the mailing of a first official action after the filing of a request for continued examination (RCE) under 37 CFR § 1.114;
- after three months of the filing date of this national application or the date of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; or (2) an action that otherwise closes prosecution in the application, and:
  - attached hereto is the fee set forth under 37 CFR § 1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
  - Applicant certifies pursuant to 37 CFR § 1.97(e) that:
    - each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
    - no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement;
  - on or before the payment of the issue fee but after the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; (2) a notice of allowance under 37 CFR § 1.311; or (3) an action that otherwise closes prosecution in the application, and:
    - Applicant certifies pursuant to 37 CFR. § 1.97(e) that:
      - each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not

**PATENT**

- more than three months prior to the filing of this Statement;  
or
- no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement; AND
- attached hereto is the fee set forth under 37 CFR § 1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
- after the payment of the issue fee. Applicant requests that the information contained in this Information Disclosure Statement be placed in the file according to 37 CFR § 1.97(i), although the information may not be considered by the USPTO.
- Applicant submits that no fee is required for the consideration of this Information Disclosure Statement.

Consideration of the listed references and favorable action are solicited.

Respectfully submitted,  
ABHISHEK CHAUHAN, ET AL.

Dated: June 22, 2004 By: 

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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Sheet

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of

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**Complete if Known**

|                        |                   |
|------------------------|-------------------|
| Application No.        | 10/782,739        |
| Filing Date            | February 18, 2004 |
| First Named Inventor   | Abhishek Chauhan  |
| Art Unit               | 2142              |
| Examiner Name          | Not Yet Known     |
| Attorney Docket Number | 22271-08770       |

| U.S. PATENT DOCUMENTS |                       |  |                 |   |
|-----------------------|-----------------------|--|-----------------|---|
|                       |                       | Document No.                               |                 |   |
| Examiner Initials*    | Cite No. <sup>1</sup> | Number – Kind Code <sup>2</sup> (if known) | Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document |
|                       |                       | US-  |                 |   |
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| FOREIGN PATENT DOCUMENTS |                       |   |                             |   |
|--------------------------|-----------------------|---|-----------------------------|---|
|                          |                       | Foreign Patent Document   |                             |   |
| Examiner Initials*       | Cite No. <sup>1</sup> | Country Code <sup>3</sup> – Number <sup>4</sup> Kind Code <sup>5</sup> (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document |
|                          |                       |   |                             | T <sup>6</sup>                                  |
|                          |                       |   |                             |   |
|                          |                       |   |                             |   |

| OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS |    |  |  |                |
|--|----|--|--|----------------|
|  |    | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published |  | T <sup>6</sup> |
|  | C1 | FARROW, R., "CSI 1997 Firewalls Matrix [An Analysis of Current Firewall Technologies]", Rik Farrow's 1997 Firewall Product Analysis; <a href="http://www.qocsi.com/farrowpa.htm">www.qocsi.com/farrowpa.htm</a> ; December 23, 2003, 5 pages.                  |  |                |
|  | C2 | Reumann, John, et al. "Adaptive Packet Filters," Department of Electrical Engineering and Computer Science; The University of Michigan, Ann Arbor, MI 48109-2122; 5 pages.   |  |                |
|  | C3 | Ranum, Marcus J., Thinking About Firewalls; Trusted Information Systems, Inc., Glenwood Maryland, 10 pages.  |  |                |
|  |    |  |  |                |
|  |    |  |  |                |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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